

POLICY REGARDING ANIMAL RECORD KEEPING AND TRANSFER OF RECORDS BETWEEN NIH INTRAMURAL ANIMAL FACILITIES

Purpose: To fulfill record keeping requirements set forth in PHS Policy and regulations issued under the Animal Welfare Act while setting forth the minimum requirement for records that are to be sent with animals being transported between NIH animal facilities. It is essential that research and veterinary procedures performed on the animal be adequately described to enable the veterinary staff, husbandry personnel, and research staff to provide follow up care and treatment or allow appropriate future research use of the animal.

This policy specifically refers to records maintained for all USDA regulated species. It is expected that these health records will be maintained as mandated by USDA's Animal Care Policy #3, Veterinary Care, January 14, 2000 (<http://www.aphis.usda.gov/ac/policy/policy3.pdf>). Records for non-regulated species and regulated rodents would likely be a colony record or detailed treatment sheet.

1. For purposes of transfer between animal facilities, animal records should document relevant husbandry (e.g. socialization records, special feeds), medical and research procedures (and outcomes) and required import/regulatory documentation (including protocol numbers).

This includes the medical record of spontaneous and research-related illnesses, adverse drug reactions, surgeries, previous exposure to Mycobacterium through adjuvants, etc. Research procedures need only be listed by name on a master problem list. This listing will include the dates (which can be a range to encompass those procedures performed every day for a specified time period). Research drugs must be listed by name and period of administration. Any catheters, pumps, tissue transplants, etc. must also be noted. Each entry describing a medical or research procedure should be signed or initialed by the appropriate personnel.

2. The original record or a complete, legible copy should be sent with the animal to the receiving facility.

The originating facility is responsible for implementing a system to indicate that the record/animal in question has left the facility *and if it is expected to return, by what date*. If the animal is not to return to the facility (due to permanent transfer or death), documentation that the animal has been removed from the facility is to be placed into the animal's record. The original record (or a copy) will be placed in a transferred or dead file. It will be signed by the Facility Veterinarian, the Facility Manager or their designated representative. The original or a copy of the record must be maintained on file for three years after the animal's final disposition.

3. All medical records for other than rodents, fish, reptiles, amphibians, and birds should be maintained in a manner that adequately communicates pertinent medical information to any veterinarian receiving the record. It is strongly encouraged that all animal facilities maintain their medical records using a standardized format (for example, the Problem Oriented Medical Record System, as described in Ettinger, Textbook of Veterinary Internal Medicine, 2nd. Ed., Chapter 1. At a minimum, this should include a record cover, general information sheet, import documents, regulatory and vendor information sheets, master problem list, chronological history (e.g. vaccinations, TB tests, serological testing, etc.), laboratory reports, surgery reports, anesthesia

reports, special procedure (e.g. radiological procedures, MRI procedures), and therapeutic and research procedures (compounds administered, the nature of and amount of biological material removed). The general information sheet will contain such information as species, DOB/age, institute, sex, investigator, adverse drug reactions, seizures, etc. It may also include the master problem list. Each entry should be signed or initialed by the person making the medical record entry.

4. If the receiving facility received what it considers to be an incomplete animal record, it is their responsibility to obtain missing documents/medical records.
5. When an animal is euthanized (or dies) while on study, the animal's complete medical record (original or copy) will be sent upon request to the IC Animal Program Director by the Facility Veterinarian or Facility Manager, with the facility keeping the original or copy for 3 years. All records pertinent to an animal study must be maintained by the IC for the duration of the animal study plus three years after the animal's final disposition per federal regulation.

Revised by Animal Program Directors, 6 December 2004